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01-14-04

RECEIPT

PATENT
030676



IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

application of:
Woodruff et al. : ENHANCED PREMIUM EQUITY
PARTICIPATING SECURITIES
Serial No. 10/679,054 :
Filed: October 3, 2003 : Art Unit: 2634

REQUEST FOR CORRECTED FILING RECEIPT

Office of Initial Patent Examination (OIPE)
Filing Receipt Corrections
Commissioner for Patents
Box 1450
Alexandria, VA 22313-1450

Sir:

A filing receipt for the above-referenced application has been received. The filing receipt, however, incorrectly lists the filing date as October 2, 2003. The correct filing date is October 3, 2003. Therefore, Applicants respectfully request a corrected filing receipt.

A copy of receipt indicating the date of October 3, 2003 form PTO/SB/05 (Utility Patent Application Transmittal) is enclosed as Exhibit A indicating that the application was mailed October 3, 2003. Enclosed as Exhibit B is a Return Receipt Postcard (MPEP § 503) from the Patent Office indicating that the application was filed on October 3, 2003. A copy of the filing receipt marked with the appropriate correction is also enclosed, as Exhibit C.

A representative of the Office of Initial Patent Examination is invited to contact the undersigned to resolve any outstanding questions regarding this matter.

Date: Jan 13, 2004

Respectfully submitted,

Mark G. Knedeisen
Registration No. 42,747

KIRKPATRICK & LOCKHART, LLP
Henry W. Oliver Building
535 Smithfield Street
Pittsburgh, Pennsylvania 15222
Ph. (412) 355-6342
Fax (412) 355-6501

"Express Mail" mailing label number EU150829518US
Date of Deposit January 13, 2004

I hereby certify that this paper or fee is being deposited with the United States Postal Service "Express Mail Post Office to Addressee" service under 37 CFR 1.10 on the date indicated above and is addressed to the Office of Initial Patent Examination (OIPE), Filing Receipt Corrections, Commissioner for Patents, Box 1450, Alexandria, VA 22313-1450.

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**UTILITY
PATENT APPLICATION
TRANSMITTAL**

(Only for new nonprovisional applications under 37 CFR 1.53(b))

Attorney Docket No.	030676
First Inventor	K. Woodruff
Title	ENHANCED PREMIUM
Express Mail Label No.	EU990164407US

APPLICATION ELEMENTS

See MPEP chapter 600 concerning utility patent application contents.

1. Fee Transmittal Form (e.g., PTO/SB/17)
(Submit an original and a duplicate for fee processing)
2. Applicant claims small entity status.
See 37 CFR 1.27.
3. Specification [Total Pages 25] (preferred arrangement set forth below)
 - Descriptive title of the invention
 - Cross Reference to Related Applications
 - Statement Regarding Fed sponsored R & D
 - Reference to sequence listing, a table, or a computer program listing appendix
 - Background of the Invention
 - Brief Summary of the Invention
 - Brief Description of the Drawings (if filed)
 - Detailed Description
 - Claim(s)
 - Abstract of the Disclosure
4. Drawing(s) (35 U.S.C. 113) [Total Sheets 6]
5. Oath or Declaration [Total Sheets 3]
 - a. Newly executed (original or copy)
 - b. Copy from a prior application (37 CFR 1.63(d)) (for continuation/divisional with Box 18 completed)
 - i. DELETION OF INVENTOR(S)

Signed statement attached deleting inventor(s) name in the prior application, see 37 CFR 1.63(d)(2) and 1.33(b).
6. Application Data Sheet. See 37 CFR 1.76

ADDRESS TO:	Mail Stop Patent Application Commissioner for Patents P.O. Box 1450 Alexandria VA 22313-1450
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7. CD-ROM or CD-R in duplicate, large table or Computer Program (Appendix)
8. Nucleotide and/or Amino Acid Sequence Submission (if applicable, all necessary)
 - a. Computer Readable Form (CRF)
 - b. Specification Sequence Listing on:
 - i. CD-ROM or CD-R (2 copies); or
 - ii. Paper
 - c. Statements verifying identity of above copies

ACCOMPANYING APPLICATION PARTS

9. Assignment Papers (cover sheet & document(s))
10. 37 CFR 3.73(b) Statement Power of Attorney (when there is an assignee)
11. English Translation Document (if applicable)
12. Information Disclosure Statement (IDS)/PTO-1449 Copies of IDS Citations
13. Preliminary Amendment
14. Return Receipt Postcard (MPEP 503) (Should be specifically itemized)
15. Certified Copy of Priority Document(s) (if foreign priority is claimed)
16. Nonpublication Request under 35 U.S.C. 122 (b)(2)(B)(i). Applicant must attach form PTO/SB/35 or its equivalent.
17. Other:

18. If a CONTINUING APPLICATION, check appropriate box, and supply the requisite information below and in the first sentence of the specification following the title, or in an Application Data Sheet under 37 CFR 1.76:

Continuation Divisional Continuation-in-part (CIP) of prior application No.:

Prior application information: Examiner _____ Art Unit: _____
For CONTINUATION OF DIVISIONAL APPS only: The entire disclosure of the prior application, from which an oath or declaration is supplied under Box 5b, is considered a part of the disclosure of the accompanying continuation or divisional application and is hereby incorporated by reference. The incorporation can only be relied upon when a portion has been inadvertently omitted from the submitted application parts.

19. CORRESPONDENCE ADDRESS

<input checked="" type="checkbox"/> Customer Number:	26285		OR	<input type="checkbox"/> Correspondence address below
Name				
Address				
City	State	Zip Code		
Country	Telephone	Fax		
Name (Print/Type)	Mark G. Kneleisen	Registration No. (Attorney/Agent)	42,747	
Signature				Date <u>10/3/03</u>

This collection of information is required by 37 CFR 1.53(b). The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 12 minutes to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Mail Stop Patent Application, Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.
If you need assistance in completing the form, call 1-800-PTO-9199 and select option 2.



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APPL NO.	FILING OR 371 (c) DATE	ART UNIT	FIL FEE REC'D	ATTY.DOCKET NO	DRAWINGS	TOT CLMS	IND CLMS
10/679,054	10/02/2003	2634	1176	030676	6	33	5

10/03/2003

26285
KIRKPATRICK & LOCKHART LLP
535 SMITHFIELD STREET
PITTSBURGH, PA 15222

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JAN 02 2004

KIRKPATRICK & LOCKHART LLP

CONFIRMATION NO. 1616

FILING RECEIPT



OC000000011591027

Date Mailed: 12/31/2003

Receipt is acknowledged of this regular Patent Application. It will be considered in its order and you will be notified as to the results of the examination. Be sure to provide the U.S. APPLICATION NUMBER, FILING DATE, NAME OF APPLICANT, and TITLE OF INVENTION when inquiring about this application. Fees transmitted by check or draft are subject to collection. Please verify the accuracy of the data presented on this receipt. If an error is noted on this Filing Receipt, please write to the Office of Initial Patent Examination's Filing Receipt Corrections, facsimile number 703-746-9195. Please provide a copy of this Filing Receipt with the changes noted thereon. If you received a "Notice to File Missing Parts" for this application, please submit any corrections to this Filing Receipt with your reply to the Notice. When the USPTO processes the reply to the Notice, the USPTO will generate another Filing Receipt incorporating the requested corrections (if appropriate).

Applicant(s)

Kevin G. Woodruff, New York, NY;
Serkan Savasoglu, New York, NY;
Nathan N. McMurtry, New York, NY;

Domestic Priority data as claimed by applicant

Foreign Applications

If Required, Foreign Filing License Granted: 12/30/2003

Projected Publication Date: 04/07/2005

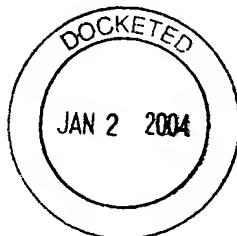
Non-Publication Request: No

Early Publication Request: No

Title

Enhanced premium equity participating securities

Preliminary Class





705

**LICENSE FOR FOREIGN FILING UNDER
Title 35, United States Code, Section 184
Title 37, Code of Federal Regulations, 5.11 & 5.15**

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S.N. Enhanced Premium Docket #32676
Title: Enhanced Premium

The PTO acknowledges, and has stamped hereon,
the date of receipt of the below items, which were
mailed 10-3-03:

- New Pat. Appl. Tran.
(Utility, Design, CPA, PROV.)
 Fee Transmittal (2x)
 Transmittal Letter
 PCT Request and fee calc. sheet
 PCT Chapter 2 Demand
 Specification
 6 sheets of informal drawings
Main. Fee Transmittal
Oath/App. of Agent
Assignment ~~& PTO Form - 1595 (2x)~~
Amendment Transmittal (2x)
Amendment
3.73 Statement
Terminal Disclaimer
Declaration(s)
Information Disclosure Statement
~~X~~ Form PTO ~~440 SB-08A~~
References
REC Transmittal
Foreign Draft Check
Issue Fee
PTO Forms 85(b) (2x)
Fee Indication Sheet
check

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Kirkpatrick & Lockhart LLP

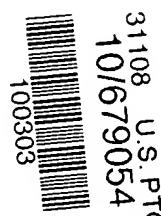
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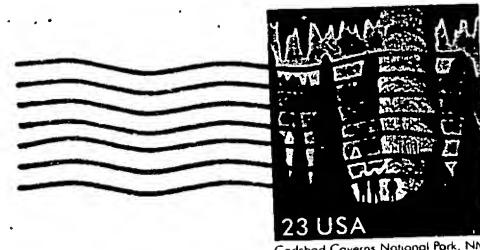
OCT 16 2003

KIRKPATRICK & LOCKHART LLP

ATTN: Terri J. Watson



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